

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371.

11345/029001

#3

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/744,040

INTERNATIONAL APPLICATION NO.
PCT/IB99/01323INTERNATIONAL FILING DATE
14 July 1999PRIORITY DATE CLAIMED
15 July 1998

TITLE OF INVENTION

METHOD AND APPARATUS FOR SECURE COMMUNICATION OF INFORMATION BETWEEN A
PLURALITY OF DIGITAL AUDIOVISUAL DEVICES

APPLICANT(S) FOR DO/EO/US

Christian BENARDEAU; Jean-Luc DAUVOIS

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

A copy of the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office
(1 page)

09/2001 SNAJ ARRO 00000059 09744040

09/2001

130.00 0P

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.492 (a) (1) - (5)) : 09/744,040	INTERNATIONAL APPLICATION NO. PCT/IB99/01323	ATTORNEY'S DOCKET NUMBER 11345/029001
--	--	---

21. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) : <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$970.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$840.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$690.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY <div style="border: 1px solid black; height: 100px; width: 100%;"></div>																															
Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				\$0.00																															
<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:15%;">CLAIMS</th> <th style="width:20%;">NUMBER FILED</th> <th style="width:20%;">NUMBER EXTRA</th> <th style="width:10%;">RATE</th> <th style="width:15%;"></th> <th style="width:10%;"></th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td style="text-align: center;">- 20 =</td> <td style="text-align: center;">0</td> <td>x \$18.00</td> <td></td> <td style="text-align: center;">\$0.00</td> </tr> <tr> <td>Independent claims</td> <td style="text-align: center;">- 3 =</td> <td style="text-align: center;">0</td> <td>x \$78.00</td> <td></td> <td style="text-align: center;">\$0.00</td> </tr> <tr> <td colspan="5">Multiple Dependent Claims (check if applicable). <input type="checkbox"/></td> <td style="text-align: center;">\$0.00</td> </tr> <tr> <td colspan="5" style="text-align: right;">TOTAL OF ABOVE CALCULATIONS =</td> <td style="text-align: center;">\$130.00</td> </tr> </tbody> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			Total claims	- 20 =	0	x \$18.00		\$0.00	Independent claims	- 3 =	0	x \$78.00		\$0.00	Multiple Dependent Claims (check if applicable). <input type="checkbox"/>					\$0.00	TOTAL OF ABOVE CALCULATIONS =					\$130.00	\$130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE																																
Total claims	- 20 =	0	x \$18.00		\$0.00																														
Independent claims	- 3 =	0	x \$78.00		\$0.00																														
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>					\$0.00																														
TOTAL OF ABOVE CALCULATIONS =					\$130.00																														
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/>				\$0.00																															
SUBTOTAL =				\$130.00																															
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$0.00																															
TOTAL NATIONAL FEE =				\$130.00																															
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>				\$40.00																															
TOTAL FEES ENCLOSED =				\$170.00																															
				Amount to be: refunded \$																															
				charged \$																															

☒ A check in the amount of **\$170.00** to cover the above fees is enclosed.

☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **500-591** A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO: Jonathan P. Ohsa, Reg. No. 33,986 ROSENTHAL & OSHA L.L.P. 700 Louisiana Street, Suite 4550 Houston, Texas 77002 Telephone: 713/228-8600 Facsimile: 713/228-8778	<div style="text-align: center;"> SIGNATURE </div> <div style="text-align: center;"> Jonathan P. Osha NAME 33,986 REGISTRATION NUMBER March 26, 2001 DATE </div>
---	--

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)

Applicant(s): Christian BEARDEAU et al.

Docket No.

11345/029001

Serial No.

09/744,040

Filing Date

January 16, 2001

Examiner

Group Art Unit

Invention: **METHOD AND APPARATUS FOR SECURE COMMUNICATION OF INFORMATION BETWEEN A PLURALITY OF DIGITAL AUDIOVISUAL DEVICES**

I hereby certify that this

Transmittal Letter to the United States Designated/Elected
Office Concerning a Filing Under 35 U.S.C. 371

(Identify type of correspondence)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The

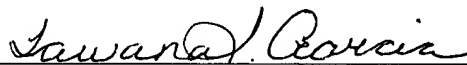
Assistant Commissioner for Patents, Washington, D.C. 20231 on

March 26, 2001

(Date)

Tawana L. Garcia

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

Note: Each paper must have its own certificate of mailing.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)Applicant(s): **Christian BEARDEAU et al.**

Docket No.

11345/029001

Serial No.

09/744,040

Filing Date

January 16, 2001

Examiner

Group Art Unit

Invention: **METHOD AND APPARATUS FOR SECURE COMMUNICATION OF INFORMATION BETWEEN A PLURALITY OF DIGITAL AUDIOVISUAL DEVICES**

I hereby certify that this **Assignment***(Identify type of correspondence)*

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The

Assistant Commissioner for Patents, Washington, D.C. 20231 on

March 26, 2001*(Date)***Tawana L. Garcia***(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***Note: Each paper must have its own certificate of mailing.**